INSTRUCTIONS FOR COMPLETING SMALL BUSINESS INNOVATION RESEARCH (SBIR) AND SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAMS GRANT APPLICATION FORMS

APPENDIX A – COVER PAGE

1. Solicitation No. – Enter the Funding Opportunity Number from IIPS.

2. Select the appropriate **Phase** (Phase I or Phase II) for which the application is being submitted.

3. If application is for Phase I, skip to number 4. If Phase II, enter the **Phase I Application No.** and **DOE Grant No.** in the field provided.

4. Enter the **Title** of the application in the Title field.

5. If the application is for Phase I, enter the **Topic number** and **Subtopic (a-d)** as defined in the FY 2005 solicitation document.

6. Enter the **total dollar amount of federal funding requested**, in whole dollars.

7. Type the **firm's complete legal name** in the field provided. If the business is typically referred to using an acronym, enter the information in parenthesis following the firm's name.

8. Enter the firm's **IRS Entity ID number**.

9. Enter the **Dunn & Bradstreet (DUNS) number**.

10. Enter the **business street address** of the firm or individual. Note: Three lines have been provided to ensure a complete address (street, P.O. Box, suite, etc.) can be entered.

11. Enter the **business address city**.

12. Enter the **business address state abbreviation**.

13. Enter the **business address nine (9) digit zip code**. Note: Two (2) fields have been provided.

14. Enter the business **Web address,** if applicable.

15. Enter the **Principal Investigator's (PI's) Contact Information**.

    a. Select the appropriate **prefix** (Mr., Mrs., Ms., or Dr.) from the drop-down pick list.

    b. Enter the **PI's legal first name or initial**, as appropriate.

    c. Enter the **PI's legal middle name or initial**, as appropriate.

    d. Enter the **PI's legal last name**.

   e. Enter the **PI's legal name suffix** (e.g., Jr., III, Ph.D., etc.), as applicable.

   f. Enter the **PI's official business title**.

   g. Enter the **PI's email address**.

   h. Enter the **PI's phone number** including area code, using the format 123-456-7890.

   i. Enter the **PI's phone extension**, if applicable.

16. Enter the **Corporate/Business Authorized Representative's Contact Information**.

   a. Select the appropriate **prefix** (Mr., Mrs., Ms., or Dr.) from the drop-down pick list.

   b. Enter the **legal first name or initial**, as appropriate.

   c. Enter the **legal middle name or initial**, as appropriate.

   d. Enter the **legal last name**.

   e. Enter the **legal name suffix** (e.g., Jr., III, Ph.D., etc.), as applicable.

   f. Enter the **official business title**.

   g. Enter the **email address**.

   h. Enter the **phone number** including area code, using the format 123-456-7890.

   i. Enter the **phone extension**, if applicable.

17. Enter **electronic signatures** and the **date** prior to submission. The names of the PI and Corporate/Business Authorized Representative must be typed in the signature fields in all <u>CAPITAL LETTERS</u> to be accepted as an **electronic signature**.

18. If application is for Phase I, select the **Type of Application**, as applicable, from the drop-down pick list.

19. Enter the **legal complete name of the Research Institution**. If the institution is typically referred to using an acronym, enter the information in parenthesis following the complete name.

20. Enter the **total dollar amount of federal funding requested**, in whole dollars, for the research institution.

21. Enter the **institution's business street address**. Note: Three lines have been provided to ensure a complete address (street, P.O. Box, suite, etc.) can be entered.

22. Enter the **institution's business address city**.

23. Enter the **institution's business address state abbreviation**.

24. Enter the **institution's business address nine (9) digit zip code**. Note: Two (2) fields have been provided.

25. Enter the **Certifying Official's Contact Information**.

    a. Select the appropriate **prefix** (Mr., Mrs., Ms., or Dr.) from the drop-down pick list.

    b. Enter the **legal first name or initial**, as appropriate.

    c. Enter the **legal middle name or initial**, as appropriate.

    d. Enter the **legal last name**.

    e. Enter the **legal name suffix** (e.g., Jr., III, Ph.D., etc.), as applicable.

    f. Enter the **Certifying Official's title**.

    g. Enter the **email address**.

    h. Enter the **phone number** including area code, using the format 123-456-7890.

    i. Enter the **phone extension**, if applicable.

26. Enter **electronic signature** and the **date** prior to submission. The name of the Certifying Official must be typed in the signature field in all CAPITAL LETTERS to be accepted as an **electronic signature**.

27. If additional **subcontractors** are included in the application, enter the **legal names and dollar amount of federal funding requested for each** in the field provided.

28. Complete the **CERTIFICATIONS AND QUESTIONS** section by using the drop-down pick lists to select **Y** for YES or **N** of NO. Additional information requested may be attached to the proposal as **EXPLANATION OF CERTIFICATIONS AND QUESTIONS**.

29. If **Proprietary Information**, subject to non-disclosure, has been included, enter the exact **page numbers** containing this data in the field provided at the bottom of the page at the end of the Proprietary Notice statement.

<u>APPENDIX B – Technical Abstract Page</u>

Type the firm name in box marked, "Applicant." It should match Appendix A.

Do not use acronyms, abbreviations, first-person references, or any proper names (including the name of the small business, any subcontractors or institutions, or any trade or product name).

The intent of this appendix is for the applicant to provide an Abstract of the technical proposal. All information is to be entered in the fields provided on the form for each section. Do not exceed the space provided. Although Appendix B provides separate boxes for these components, the technical abstract will be posted on the Website as a single, self-contained paragraph. Therefore, the technical abstract should flow smoothly from one part to the next.

- ***Statement of the problem or situation that is being addressed***. Describe the problem or situation being addressed – be sure that the Department of Energy interest in the problem is clear. (Typically one to three sentences).

- ***General statement of how this problem is being addressed***. This is the overall objective of the combined Phase I and Phase II projects. How is this problem being addressed? – i.e., What is the overall approach of the combined Phase I/Phase II project? (Typically one to two sentences).

- ***What is planned for Phase I***. For Phase II: What was done in Phase I? (Typically two to three sentences).

- ***What is planned for the Phase II project***. **(Required only for Phase II applications).** For Phase I grant applications: Leave blank. For Phase II grant applications: What is planned for the Phase II project? (Typically, two to three sentences).

- ***Commercial Applications and Other Benefits*** (limited to the space provided). Summarize the future applications or public benefits if the project is carried over into Phase II and beyond. Do not repeat information already provided above.

- ***Key Words*** **-** Provide listing of key words that describe this effort.

- ***Summary for Members of Congress:*** (Layman's Terms, Two Sentences Maximum, 50 words). The Department notifies members of Congress of awards in their districts. Therefore, please provide, in clear and concise layman's terms, a very brief summary of the project, suitable for a possible press release from a Congressional office.

APPENDIX C – GRANT APPLICATION BUDGET

Enter Firm Name

Notes: With the exception of Fields C, E, and H, costs for each category and total costs will automatically calculate by entering a value in the appropriate fields. Navigate from cell to cell by pressing the tab key or clicking the mouse outside of the field being edited.

BUDGET LINE ITEMS
The following is a brief outline of the information required:

Field A – Key Personnel:

- List the key personnel by legal name and identify role/function in the project. Other direct personnel need not be named, but their role, such as "technician," shall be entered. Note: Indirect personnel (e.g., administrative staff) should be included in Field H.
- Enter the estimated man-hours for all personnel.
- Enter the hourly labor rate in U.S. dollars for all personnel.
- Enter the fringe benefits (must be 1.00 or greater) to be applied to all personnel (e.g., 1.5 indicates fringe benefits are equivalent to 50% of the personnel’s labor rate – rate of $50/hour and fringe benefit of 1.5 results is a total hourly rate of $75). If fringe benefits are calculated separately from the hourly rate, the cost may be identified in Field H instead of Field A.

Field B – Consultants:

- List the consultant(s) by legal name and identify role/function in the project.
- Enter the estimated man-hours for each consultant.
- Enter the hourly labor rate in U.S. dollars for each consultant.

Field C – Leased Equipment:

- List items costing $5000 or more to be leased.
- Specify each item, the length of lease, and its respective rate (or other basis).
- Items of lesser value can be identified in Field F, Line 1.
- Enter the total Leased Equipment cost in the Total Cost column for this category.

Field D - Purchased Equipment:

- List items costing $5000 or more and exceeding 1 year of useful life.
- Specify each item and its respective cost.
- Items of lesser value can be identified in Field F, Line 1.

Field E - Travel:

- Itemize by destination, purpose, period, and cost for both staff and consultants. **Foreign travel is not normally an appropriate expense.**
- Enter the total Travel cost in the Total Cost column for this category.

Field F - Other Direct Costs:

- Enter the total costs of each subcategory.
  1. Materials and Supplies

2. Publication Costs
3. Testing Services (including work at Government Installations)
4. Computer Services
5. If there is substantial collaboration with a research institution (defined in Section 2.9), list the research institution on line 5.
6. Other Subcontractor(s)
7. Other (Lab fees, field site costs, patent filing, fabrication costs, etc.)

- On the separate budget explanation page, identify any equipment, materials and/or supplies that would be purchased by any subcontractor under this grant.

Field G - Total Direct Costs:
- This is the total of Fields A through F.
- The value is self-calculating. Therefore, no entry is necessary.

Field H - Indirect Costs:
- Cite established Overhead (OH) and General and Administrative (G&A) rates, if any.
- Provide the base in both narrative and dollar terms to which any proposed indirect rate is applied.
- Otherwise, include all indirect costs (e.g., facilities, shared equipment, utilities, property taxes, and administrative staff) for the period of the project.
- Enter the total Indirect Cost in the Total Cost column for this category.

Field I – Total Costs:
- This is the total of Fields A through H.
- This value is self-calculating. Therefore, no entry is necessary.

Field J – Fee or Profit:
- Enter the Fee or Profit as a percentage in decimal form (e.g., 0.25) of the Total Costs calculated in Field I.
- The Total Fee or Profit value will automatically calculate by multiplying the value in Field I by the percentage entered (e.g., Field I value of $100K multiplied by a fee percentage of 0.25 (25%) results in a total fee of $25K).

Field K - Total Amount of this Request:
- This is the total of Fields I and J.
- This value is self-calculating. Therefore, no entry is necessary.
- This amount cannot exceed $100,000 for Phase I or $750,000 for Phase II.

Field L - Federal Audit:
- If DCAA or another Federal agency has audited your accounts in connection with a Federal grant or contract, select “Yes” from the drop-down pick list. Otherwise, select “No”.
- If “Yes” was selected, enter the name, address, and phone number of the reviewing office or official in the field provided.

APPENDIX D – APPLICATION CHECKLIST

Self-explanatory.